Federal executives broaden their management philosophy . . .

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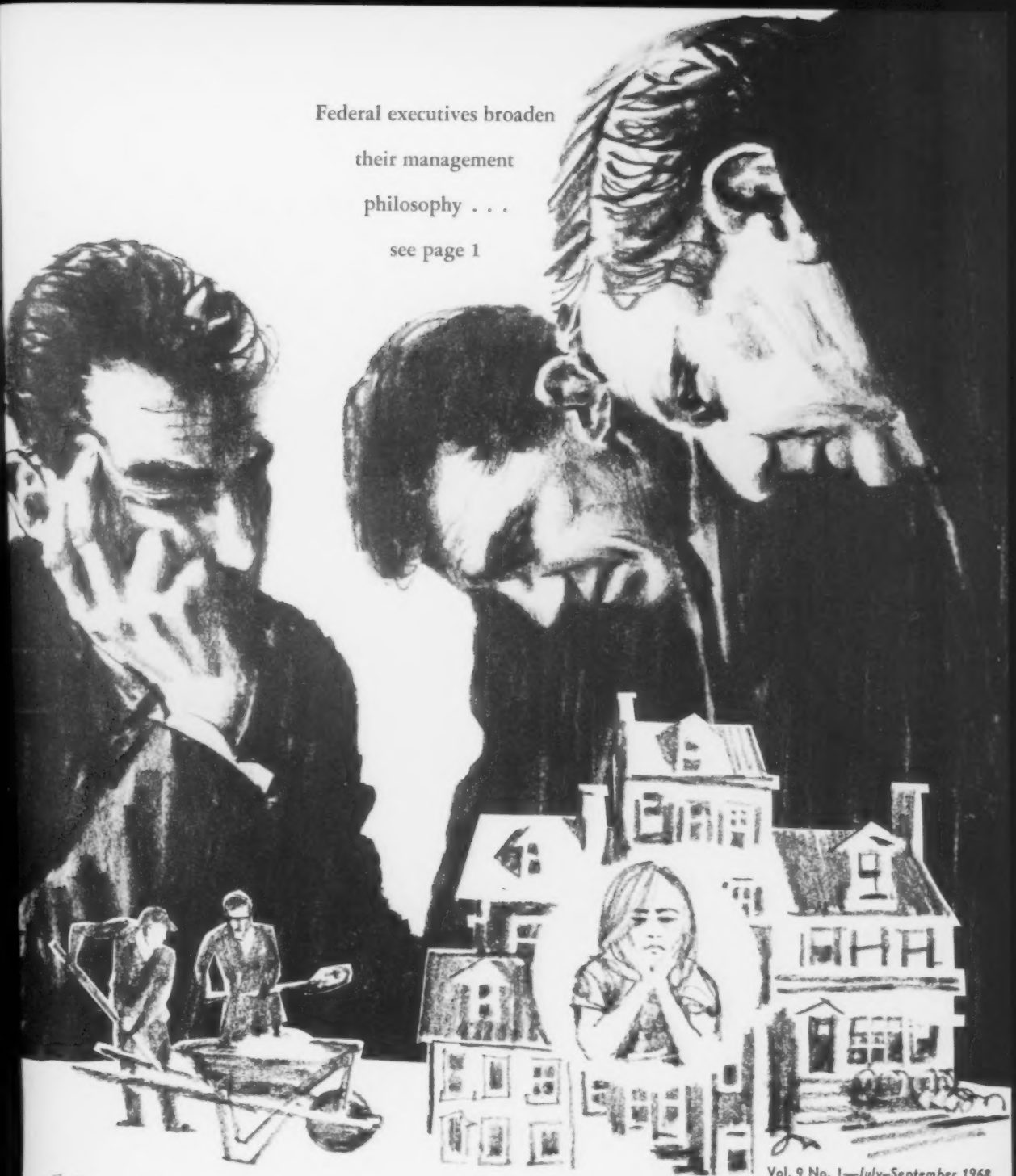

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U.S. Civil Service Commission

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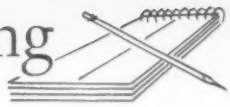
Worth Noting



PUTTING MORE MERIT in merit promotions is the aim of a revitalized, equitable new promotion policy announced by the Civil Service Commission. Comments from personnel directors, employee organizations, and Federal Executive Boards were considered before the plan was put in final form. Emphasis in the new policy is on open, aboveboard operation, full consideration of all employees for promotion, use of effective and meaningful rating methods, and elimination of discrimination or personal favoritism. Special measures to keep employees well informed on the program and on their own opportunities are stressed in the plan, with the clear aim of selecting from among the best qualified for each promotion made within the classified civil service.

WAGE SURVEYS have begun on schedule under the Coordinated Federal Wage System. The four areas where surveys began in July are Biloxi, Mobile, and Montgomery, where the Department of Defense is the lead agency, and Southwest Oregon, where the lead agency is the Veterans Administration. Scheduled for August were Washington, D.C., Gainesville (Fla.), Tampa-St. Petersburg, Brunswick (Ga.), Oklahoma City, Charleston (S.C.), and the Southwest Oklahoma and Alaska wage areas; and for September San Francisco, Fort Wayne-Marion, Cocoa Beach-Melbourne, Orlando, Panama City, and Pensacola. The lead agency in each local wage area has the responsibility for making surveys, analyzing data, and issuing wage schedules under procedures prescribed by the Civil Service Commission. All agencies then pay their hourly wage employees in that area under these schedules.

BROAD-COVERAGE NATIONWIDE recruiting and examining programs are making a definite impact toward meeting agency hiring needs, according to statistics on two "umbrella" examinations through which applicants may compete for a wide variety of Federal jobs. Through July 1968 a total of 3,021 Federal appointments had been reported at grade GS–4 from the Junior Federal Assistant examination, and 2,200 selections at GS–9 through 12 from the "Mid-Level Positions in Administrative, Staff, and Technical Services" (MAST) exam. JFA and MAST were announced in 1967 as part of the Commission's modernized recruiting and examining process.

OCCUPATIONAL HEALTH programs will cover 2,368,000 Federal workers by the end of this year, according to a report to the President by CSC Chairman John W. Macy, Jr. This figure represents a remarkable increase from a total of 609,000 employees covered in June 1965, when the President called for the program to be revitalized. All Federal installations in the Washington, D.C., area with 50 or more employees will have access to occupational health services by year's end. Chairman Macy also reported to the President that improvements are being made in the range of services provided, including inauguration of a Government-wide program to find and rehabilitate employees whose work is adversely affected by drinking.

(*Continued—See Inside Back Cover*)

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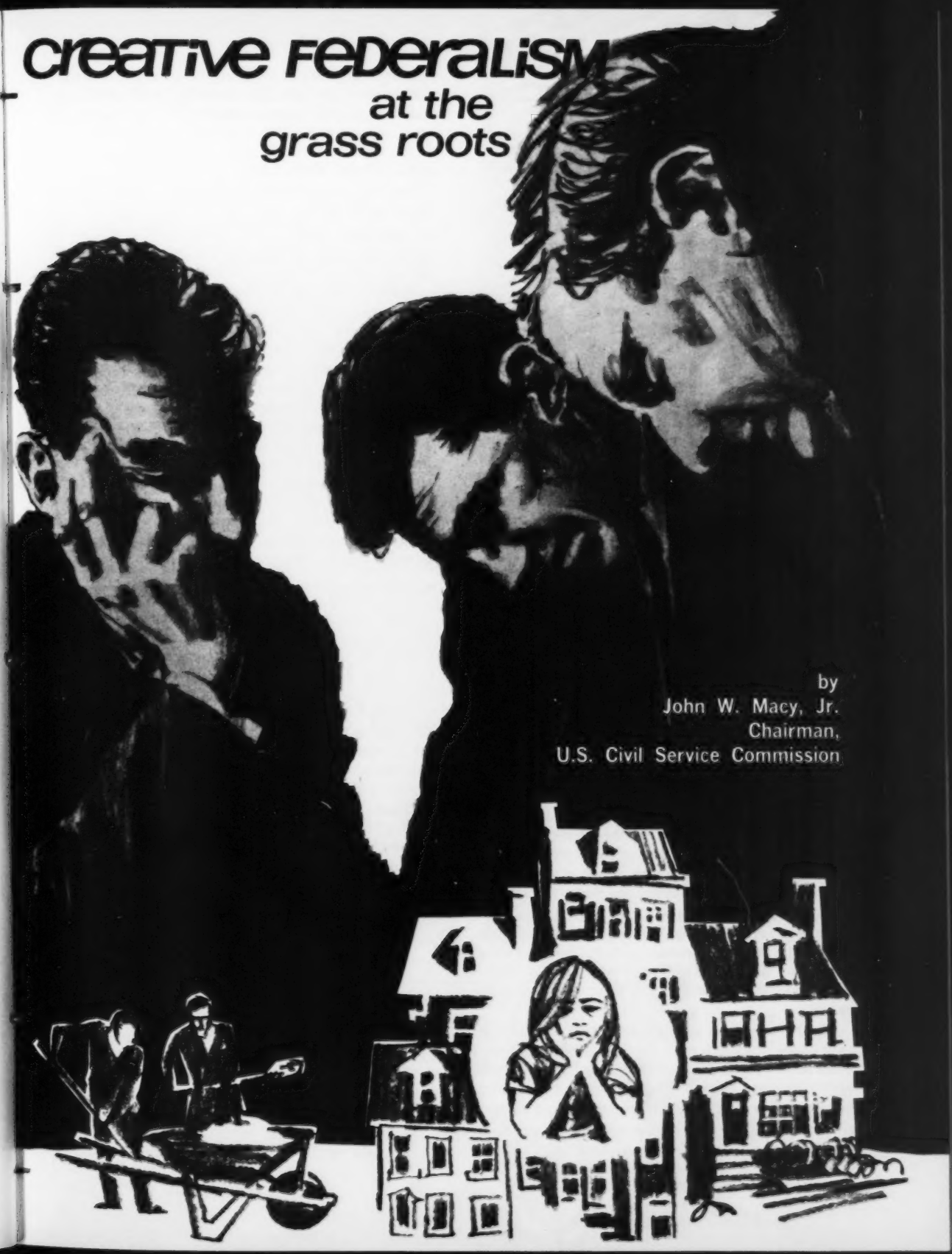
Creative Federalism at the grass roots



by
John W. Macy, Jr.
Chairman,
U.S. Civil Service Commission

THE PUBLIC ADMINISTRATOR in all jurisdictions is faced, today, with challenges which are unprecedented in terms of their complexity, magnitude, and urgency. They require from him a breadth of outlook and concern which extends significantly beyond his immediate area of responsibility. These problems also demand new approaches and innovations in the practice of public administration. Essential to the effective performance of all public jurisdictions is a high degree of collaboration with other levels of government and the private sector.

Federal Executive Boards have been designed and operated to help meet these challenges. Since their establishment by President Kennedy in 1961, they have served to broaden the management philosophy of the Federal executive beyond the perimeter of his immediate responsibilities.

The FEB members are demonstrating a new management philosophy which recognizes that a Federal executive needs to view his responsibilities as being broader than his agency mission. This philosophy leads to an increasing involvement by the executive in interagency and intergovernmental affairs. It prompts participation by the executive in joint community ventures. As a result of FEB participation, the Federal executive is better able to think and act with a perspective and concern which encompasses the entire executive branch, other public jurisdictions, and the community.

ORIGIN OF PROGRAM

The development of the FEBs into a positive force for better government is a story of commitment and resolve—a commitment by Federal executives to improve the quality of American government, and a resolve to do this through cooperative action at the local level.

I have had the privilege of being associated with the FEB program since its inception in 1961, when I served as a member of the "troika" with Frederick G. Dutton, Special Assistant to the President, and William D. Carey, Executive Assistant Director, Bureau of the Budget.

Our mission, given to us by President Kennedy, stemmed from a growing realization by many citizens, officials, and organizations that there was a critical need for better communications between Washington and the field, for improved interagency cooperation at the local level, for an interagency organizational pattern to facilitate the accomplishment of Presidential programs, and for enhancing the relationship between the Federal Government and the community. President Kennedy was determined to improve this situation.

WHITE HOUSE REGIONAL CONFERENCES

With these needs in mind, we conducted a series of White House Regional Management Conferences with field agency heads in Chicago, Atlanta, San Francisco, and New York. These conferences clearly confirmed the need for better communication and improved interagency cooperation. Although some cities had Federal Business Associations or Federal Agency Councils which were useful in exchanging information and jointly sponsoring activities at the local level, they were limited in scope and activity. They lacked official endorsement and encouragement, and they had no established channels of communication with Washington.

These findings were discussed with the Executive Officers Group in Washington (Assistant Secretaries for Administration of departments) and were presented to the President and the Cabinet. On November 10, 1961, the President issued a memorandum to Heads of Departments and Agencies directing significant strengthening of the coordination of government activities in the field service. He called for improvement simultaneously on two fronts: (1) the development within each department of improved arrangements for the management and direction of its field offices and (2) the establishment of boards of Federal executives in designated cities to facilitate closer working relationships and communications among Federal agencies in the field and between Federal agencies and the community.

By January 1962, the initial 10 Federal Executive Boards were established in Atlanta, Boston, Chicago,

Dallas-Ft. Worth, Denver, New York, Philadelphia, St. Louis, San Francisco, and Seattle. In 1963, Kansas City and Los Angeles were added, and in 1966 Boards were organized in Cleveland, Minneapolis-St. Paul, and Honolulu. These 15 cities, in addition to being major population centers, are important points of Federal concentration outside the national capital area.

ORGANIZATIONAL FRAMEWORK

We purposefully designed the organizational framework of the FEBs to motivate Federal executives toward an increased awareness of and participation in Presidential programs which require interagency cooperation, intergovernmental collaboration, and community involvement. The FEBs were not created as another layer of government or a super organization with the authority, staff, and resources to impose cooperation and coordination upon Federal agencies. Rather, the Boards are organizations of Federal executives themselves, where their full, personal participation is required for success.

Board members are designated by agency heads and are the top officials of the Federal Government in their city. This designation process insures that Board participation is an official responsibility and emphasizes top management responsibility for Board effectiveness.

While the FEB members have a personal responsibility for Board work, they have designated staff members to participate in Board activities. Employees at many levels work on specific Board projects. This practice serves to involve a large number of persons in interagency, intergovernmental, and community affairs.

Each year Board Chairmen select from among agency nominees an outstanding Federal employee to serve for a year as Staff Assistant to the Board Chairman. This affords an excellent opportunity to identify and help develop outstanding talent while at the same time providing a very useful staff resource for the FEB.

PROGRAM EVOLVEMENT

In reporting to *Journal* readers in December 1963 on the progress of the Boards, I pointed out that "A hard look at Board accomplishments so far reveals a real potential for getting greater mileage out of the Federal dollar at the grass roots level. And equally important, there is potential for effectively advancing the high-priority Presidential policies and programs." Since then they have significantly expanded their original charter by giving top priority to urban problems.

The lesson of Watts and the passage of new legislation to attack poverty and urban decay made essential this new direction and emphasis for the Boards. With the Nation's attention focused on urgent urban problems, we realized that the FEBs, with their capacity for interagency and intergovernmental cooperation, could play a valuable role in the coordinated attack on the urban crises.

In a memorandum to Board Chairmen on October 18, 1965, I pointed out that "New programs of the Great Society have made resources available to bring to bear on critical urban problems. The solution to specific problems involves the cooperative effort of a number of different Federal agencies, State and local agencies, and local nongovernmental groups. A good flow of communications and information from Washington to the field is important in all these areas, but even more important is effective communication between the agencies and organizations in the locality as a basis for coordination and cooperative action. Mr. Charles Schultze, Director of the Bureau of the Budget, and I feel that the FEBs are the best instrumentality we now have to tackle complex problems of this nature."

MAJOR COMMUNITY PROBLEMS

I asked Board Chairmen to identify from five to ten major community problems or projects that seemed to

have the highest degree of urgency. These projects could be in terms of a problem that cuts across the entire community like the employment of minority groups, or with a particular segment of the community like Watts. Further, I suggested that each project be tackled by a Task Force made up of program managers with an operating responsibility in the particular area involved. The Director of the Task Force would be the manager with the greatest program interest, and individuals with parallel responsibility from State and local agencies and local groups should also be invited to serve on the Task Force.

This general description of how the FEB could approach problems touches on an important and promising feature of the FEBs. Given the existing structure of the executive branch and its mechanism for coordination, it would be very difficult for anyone to give that assignment to a group of Federal executives in a community and expect a positive response without an organization such as the FEBs. However, with the Boards, there was a forum, a mechanism, and an expectation for local Federal managers with related program responsibilities to join together with their local counterparts to formulate and carry out a coordinated approach to their communities' problems.

The assignment undertaken by the Boards in October 1965 has been challenging, frustrating, yet rewarding. While it is easy to prescribe a general approach, it is extremely difficult to define problems, marshal resources to attack them, and carry out action programs resulting in accomplishments. Part of the difficulty lay in the problems themselves. While everyone readily recognizes gross problems, such as unemployment, poor housing, and crime, it is considerably more difficult to relate government programs to the solution of these problems in a manner relevant to the local situation and accessible to local action.

ORGANIZATIONAL CONTEXT

A second difficulty is the organizational context of the FEBs. Since they have no specific authority, separate staff, or special funds, their effectiveness depends on the imagination, willingness, and ability of the individual members, and their collective desire to work together. Although the FEB members possess an abundance of these attributes, they are also individuals with different points of view, different ideas, different needs, and different program responsibilities. Hence, it was, is, and will continue to be a time-consuming and complex task to develop and carry out coordinated action programs. On the other hand, it is essential that organizational means for coordinated program delivery to the public be devised. The FEB is the most effective means functioning today for that purpose.

During the next 18 months the Boards pursued these problems, and worked with State, local, and private officials in joint efforts to find solutions. They met and established formal liaison with the Mayor; consulted with the Governor or his staff; and communicated with other governmental organizations, such as planning commissions and regional associations of governments. This effort acknowledged the essential interplay between Federal activities and State and local activities in the successful implementation of most urban programs.

The Boards took responsibility for seeking out and maintaining beneficial intergovernmental relationships, and for positively responding to requests for information or assistance from other governmental officials. This did not mean that suddenly intergovernmental relations were completely harmonious. It did, though, create an expectation and mechanism for improving collaboration with other levels of government.

Efforts in the area of equal employment and economic opportunity were strengthened. Here the FEB members, as employers, sought to make the Federal Government more nearly a model employer. Boards developed career guidance projects at high schools in ghetto areas to acquaint minority students with job opportunities in the Federal service. They reassessed their recruiting practices and job structure, and took positive action to insure that as employers they were providing equal opportunity for employment.

All FEBs promoted the training in Federal agencies of Neighborhood Youth Corps enrollees, the employment of needy youths in the Summer Youth Opportunity Campaign, and the use of other participants under Economic Opportunity programs. They also sponsored conferences and seminars to better explain to their staffs and the community the programs of the Economic Opportunity Act.

URBAN PROBLEMS COMMITTEES

To focus Board attention on urban problems, the Chairmen of the Critical Urban Problems Committees met together in Washington late in 1966. Through that

conference more definitive guides for FEB action on urban problems were developed in terms of five specific functions:

- *Diagnostic function*—to exchange information and ideas on urban needs among Federal managers themselves and between Federal officials in order to help determine and define problems that are critical.
- *Resources inventory function*—to bring into better perspective the tools and programs of Federal agencies so that they can be coordinated and matched with critical problems.
- *Supportive function*—to help each other and the community accomplish programs and solve problems which are the primary responsibility of one agency but need communication, cooperation, and coordination among several agencies.
- *Linkage function*—to use established relationships of various FEB members to open communication lines with local government authorities and private organizations so that collaborative patterns of action can be developed.
- *Reporting function*—to prepare assessments, profiles, and reports on the urban problems situation as a guide for local action and for use at the headquarters level.

These functions serve as a matrix within which the Boards conduct specific action programs. Their action programs now consist of a wide variety of measures designed to help alleviate urban problems.

SPECIFIC URBAN PROGRAMS

A few examples of FEB action will illustrate their potential for contributing to solution of urban problems. A major thrust has been to assist communities in identifying their problems and devising programs for solving them.

- The San Francisco FEB in 1967 established a Task Force which has made a thorough study of the overall needs of the City of Oakland, the basic goals to be achieved through Federal assistance, and the effectiveness of Federal methods and programs in providing assistance to the City. The Task Force has recommended improved coordination and administration of Federal programs and the determination of Federal priorities in Oakland. This study, which has just been completed, is a major effort to determine a coordinated approach to the problems of a community beset with urban problems. Its recommendations promise to have widespread implications for the development and administration of Federal programs across the country. It increased the awareness of Federal program managers in the San Francisco-Oakland area of the critical need for improved coordination of Federal programs.

- Many FEBs conducted crime control conferences last spring in order to encourage greater cooperative, community action on the problems of crime. The purposes of the conferences, involving Federal, State, and local officials, were to determine the extent of the crime problem and ascertain what plans have been formulated by Federal, State, and local authorities to control crime; and explore means by which the FEBs can cooperate with local and State officials in implementing action programs to control crime and improve the criminal justice process. FEB Chairmen report that these conferences were beneficial by bringing together, often for the first time, law enforcement officials from all levels of government who are located in the community, and opening possible avenues of future cooperation.

- Members of the Denver FEB assisted the City of Denver in preparing its Model Cities application. Following the announcement of Denver's designation as a Model City, the FEB Chairman received a letter of appreciation from Mayor Thomas G. Currigan, City of Denver, which stated in part: "The help and encouragement of the Denver Federal Executive Board during the period when our Model City application was being developed and reviewed were of great assistance in the ultimate success of Denver's being designated a Model City. . . . We are looking forward during the next several months and years to a continued close relationship with the Denver Federal Executive Board."

- Several Boards are becoming increasingly active in the area of equal employment opportunity in federally funded construction and the apprenticeable trades. The Philadelphia FEB has, for example, developed an interagency plan for strengthening EEO contract compliance. The features of the plan are a standard coordinated approach to the enforcement of EEO contract compliance and the development of all possible community resources in the recruitment and referral of minority group persons for employment in the construction trades. The plan requires contractors, in Federal or federally assisted construction projects of over $500,000, to agree before the contract is awarded to use a substantial number of minority group employees in construction trades which previously had no minority group members or only a token number. If the contractor fails to reach such an agreement with the Federal office, the contract is withheld or renegotiated with the next lowest bidder.

- An Apprenticeship Standards Program is an approach the New York FEB is taking to the problem of a paucity of minority group members in some apprenticeable trades. The program consists of an analysis of building trade apprenticeship eligibility requirements and selection procedures to determine the extent to which they work against EEO principles by being irrelevant to job needs. The fact-finding and analysis phase of this project revealed that there are vast differences in various apprenticeship programs and some extreme eligibility requirements which are not really job related. On the basis of the analysis, the FEB Task Force responsible for this

project is beginning to develop an action program which will probably involve recommendations for revisions of standards and requirements.

COMMUNITY SERVICE

Another type of Board activity in the urban problem areas has been that of direct service to the community. Three examples are worth noting:

- The Seattle FEB arranged Federal participation in a State Multi-Service Center located in a ghetto area of Seattle. This will bring directly to the ghetto resident the services of such agencies as the Social Security Administration, Veterans Administration, Small Business Administration, Internal Revenue Service, and Civil Service Commission.

- The Denver FEB recently sponsored 80 Federal employees who now serve as members of the Denver Municipal Court's volunteer counselor program. The counseling program is intended to provide probation counseling service to felony offenders thereby preventing their movement to more serious crimes. Each counselor pledges to spend 1 hour a week for 1 year guiding and directing a problem defendant involved in a misdemeanor action.

- The New York FEB, through interagency and intergovernmental cooperation, has conducted Consumer Education and Protection Clinics. Held in ghetto neighborhoods and led by experts from Federal, State, and city government agencies having responsibilities in the field of consumer education, the clinics served to: (1) demonstrate to the disadvantaged that law and government do work to protect them, (2) aid actual and potential victims of exploitation, and (3) coordinate the activities of government at all levels in an attack upon consumer fraud and deception.

These are but a few examples of what the Boards are accomplishing. Many others could be mentioned, such as supporting fair housing efforts, arranging summer recreation projects for disadvantaged youths, evaluating and seeking improvements of transportation from the ghettos to job sites, and surveying the quality and quantity of Federal services to disadvantaged citizens.

The most recent undertaking is to assist and cooperate with the National Alliance of Businessmen in making the JOBS program succeed. The task of the Alliance is to encourage private companies to put 100,000 disadvantaged men and women on the job by June 1969, and 500,000 by June 1971. This effort requires a "new partnership" between industry and government to meet the problem of the hard-core unemployed.

Because of their experience in recruiting, employing, training, and counseling the disadvantaged, the FEBs are providing local NAB officials with ideas and assistance in publicizing and carrying out the JOBS program. For example, as an employer the Federal Government has had extensive experience in developing realistic qualification and suitability standards, in establishing lower-level jobs for the unskilled and untrained, and in training and counseling disadvantaged employees. The FEB members are sharing ideas and experiences with NAB officials, and in turn receiving suggestions, so that both can more successfully pursue their common goal of equal employment and economic opportunity.

OTHER GOALS

While critical urban problems are receiving top priority, Boards are continuing to pursue their goals in the areas of management improvement, cost reduction, interagency cooperation, and community affairs.

They are making significant contributions to the President's program for improved service to and communication with the public. They were instrumental in launching the first one-stop Federal Information Centers in Atlanta and Kansas City, and in establishing Centers recently opened in Boston, Chicago, Denver, Dallas-Ft. Worth, and San Francisco. In addition, the Boards are sponsoring TV and radio programs on no-charge public service time about Federal activities and programs; conducting conferences and seminars on improved services; improving listings of Federal agencies in telephone directories; and publishing directories of Federal activities in the community.

IMPACT AND FUTURE

Federal Executive Boards were originated and are sustained through a Presidential resolve that greater unity of purpose and action must prevail among Federal units at the local level. The establishment of the Boards created an increased expectation of achieving this unity of purpose both among Federal executives and in their relationship with the community. In short, they are instruments of the President, created to help achieve the goals of the President.

In the course of 7 years, the Boards have significantly expanded their original charter in response to emerging needs. They are now a respected force in the community, a proven catalyst for interagency and intergovernmental action, and a constant source of innovation and initiative.

They are not a final answer in assuring coordinated Federal performance at the local level. New and better organizational designs must emerge to meet critical demands which cry for a more effective integration of government services. But the Boards represent a constructive evolutionary stage in the harmonizing and unifying of Federal programs at the front line of government—the local community.

LEGAL DECISIONS

ADVERSE ACTIONS—CAUSE

Gardner v. *Broderick* and *Uniformed Sanitation Association* v. *Commissioner of Sanitation,* Supreme Court, June 10, 1968. In a line of precedent decisions the Supreme Court has held that refusal to answer an employer's questions as to matters relating to an employee's official duties is good cause for dismissal. Some doubt as to the continued validity of these precedents was raised by two decisions of the Court last year, *Garrity* v. *New Jersey* and *Spevack* v. *Klein.* The four judges who dissented in these cases claimed that the principles on which the majority based its decision inferentially reversed this line of precedent decisions. Obviously, if true, this could have quite an impact on Federal as well as State personnel management.

In the *Gardner* and *Sanitation Association* cases, the Supreme Court put the fears to rest. The cases involved New York employees who were discharged for refusing to waive their rights under the Fifth Amendment when called before a grand jury. The Court invalidated the discharges on the ground that appellants were not discharged for refusal to answer questions; they were discharged for refusal to expose themselves to criminal prosecution based on testimony which they would give under compulsion, despite their constitutional privilege. But the Court went on to say that if appellant (Gardner) "had refused to answer questions specifically, directly, and narrowly relating to the performance of his official duties, without being required to waive his immunity with respect to the use of his answers or the fruits thereof in a criminal prosecution of himself, *Garrity* v. *New Jersey, supra,* the privilege against self-incrimination would not have been a bar to his dismissal."

LOYALTY–SECURITY

Schneider v. *Smith,* Supreme Court, January 16, 1968. Although not a Federal employment case, this case portends possible repercussions on the Federal loyalty-security program.

Under a program established by the President under the Magnuson Act, plaintiff applied to the Coast Guard for a seaman's license. He had to fill out a questionnaire. Two of the questions were about membership in the Communist Party and similar organizations in language quite like that in two of the questions on Standard Form 57. When he answered in the affirmative, he was asked to respond to a comprehensive interrogatory, generally similar to the interrogatories used in employee cases. He refused and his license was denied. The Court ruled in his favor, holding that the Magnuson Act does not authorize the inquiry taken by the Coast Guard.

This decision in itself is not too significant. The portents lie in the statements made in concurring opinions, particularly one that says that the interrogatories "pass the outermost bounds of reason. No person may be permitted to require of a person, subject to heavy penalty, sworn essays as to his attitude toward the form of government of the United States or 'full particulars' under oath, without time limit as to contributions made and functions attended with respect to 250 organizations."

Incidentally, the two questions on the new application forms that replace Standard Form 57 have been changed in the light of this decision and other decisions involving First Amendment rights of public employees.

ADVERSE ACTIONS—CAUSE

Meehan v. *Macy,* Court of Appeals, D.C. Circuit, April 18, 1968. This is an important decision but an even more important opinion. The decision sends the case back to the agency to reevaluate the penalty in the light of the one charge that the court sustained.

Plaintiff was discharged on three charges—conduct unbecoming a police officer of the Canal Zone Government in that he circulated a letter and poem derogatory to the Governor at a time when riots in the Canal Zone were just being brought under control; failure to obey instructions; and failure to obtain clearance for publication of an article. The Court upheld the first charge, but not the other two, holding that the instructions were not clear and the required clearance of articles did not clearly cover a press interview.

In answer to the claim that the circulation of the letter and poem was in the exercise of plaintiff's freedom of speech under the First Amendment, the Court pointed out that while Government employees do not lose their constitutional rights, in the exercise of their rights they are bound by considerations of elemental loyalty to their employer, which sets a limit on channels and methods available to indicate disagreement with a superior official. "The added interests of the sovereign as employer are factors to be considered in adjusting and balancing constitutional concerns."

The Court rejected two other claims by plaintiff, namely, that his actions were protected from penalty or reprisal because he was acting as a union official and because he was presenting a petition to Congress. As to the first, the Court said that Executive Order 10988 "by its terms provides for presentations within official channels and establishes no special warrants for appeals to the public." The Court dismissed the second contention in these words: "We do not think the right of Federal employees to petition to Congress embraces a right to launch a broad public appeal to induce their friends and sympathizers to write to their Congressmen."

—John J. McCarthy

SCIENCE ADMINISTRATION: nih training for a young profession

by Eugene A. Confrey, Ph. D.
Director, Division of Research Grants
National Institutes of Health

MEDICAL RESEARCH sponsored by Federal agencies has increased markedly in recent years, the largest program being that of the National Institutes of Health. Among its awards to medical schools, universities, and research institutes are project grants, research fellowships, and construction grants—totaling nearly $1 billion in fiscal 1968.

Like any Federal agency, NIH requires many types of managerial talent. For its program direction, scientists and clinicians are needed. In the early evolution of its grant programs, NIH had to decide whether (1) to recruit administrative personnel and provide training in scientific content and methodology, or (2) to recruit scientists and provide training in administration.

Science administration deals with problems common to all forms of management: Personnel, budget, public relations, planning, information, reports. Those who are expected to manage should be trained in and motivated toward administration. But the problems of science presuppose an understanding of research and higher education. They involve technical matters and present subtle issues—the "scientific freedom" of researchers supported by public funds, the interrelationships between research and education. On the other hand, should scientists leave research in order to pursue administration? Could they leave the laboratory and adapt to the constraints of bureaucracy?

The program, NIH decided, is science; the instrument administration. NIH began to recruit scientists and provide training in administration. One phase of this activity was established 6 years ago within NIH's Division of Research Grants: The Grants Associates Program.

THE ORGANIZATION

When the idea for a training program designed for scientist-administrators was first proposed (by Richard R. Willey, then Deputy Chief of the Division of Research Grants), the NIH comprised a number of Institutes conducting and sponsoring research in cancer, heart diseases, neurological diseases, arthritis, and other health problems. The research project grant had become the principal instrument of financial assistance for research in nonfederal institutions.

NIH has always relied heavily on advice from its consultants. No grant can be awarded unless approved by a National Advisory Council. A prior recommendation, based on the scientific merit of the research proposal, is made by committees of consultants (study section members), who are appointed because of their technical expertise.

Research project proposals are accepted by NIH, assigned to the appropriate unit, reviewed for technical merit and program relevance, approved or disapproved. When an award is made, the grant is administered by an NIH Institute—including the assessment of scientific progress. As an index of the workload, in 1967, NIH awarded 13,948 research grants, 72 construction grants, 2,411 training grants, 4,845 fellowships and traineeships, and 707 research contracts.

SCIENCE ADMINISTRATIVE POSITIONS

In many phases of NIH grant administration, the key decision is primarily scientific in nature:

. . . Should a pharmacology-toxicology center program be mounted?

. . . What is the state-of-the-art in computer research?

. . . Has Research Scientist X demonstrated familiarity with the literature in his field?

Many of these decisions at NIH are made in conjunction with consultants, but science administrators are involved in prominent roles. One such position, that of executive secretary to a study section, requires a scientist of professional caliber, usually at the Ph. D. or M.D. level. Responsibilities include the nomination of consultants, the organization of review meetings, the stimulation of fields of science, coordination with other agencies, the conduct of project site visits to universities. Another illustrative position is that of a branch chief or program director, who manages grants and contracts, reviews progress reports, and decides on the modification of scientific programs.

There are other scientist-administrative functions at NIH, including the development of policy, program evaluation, and liaison with academic institutions.

THE GRANTS ASSOCIATES PROGRAM

How should this program, designed to provide training for these science administrative positions, be managed?

It was decided to locate operations in the Division of Research Grants (DRG). The program would be governed by a board of scientists, drawn from many NIH (and Public Health Service) units, with frequent rotation of membership. NIH's Personnel Management Branch would provide technical assistance and liaison to the Board of Scientists. A full-time executive secretary of the program would be appointed. After appropriate coordination with the Civil Service Commission, the first announcement of the program was made in March 1962, stating that "scientists who possess the doctorate degree (or its equivalent) in a health-related science . . . will be considered. . . ."

The Board has established policies to guide the program, including qualification requirements, and has selected candidates and evaluated associates. The Executive Secretary works with the Board and the Civil Service Commission. He also conducts the initial interview of candidates, coordinates assignments, and arranges training seminars.

A decision requiring resolution early in the program was whether to structure the training vertically or horizontally. At NIH, this meant the choice of providing in-depth experience in one Institute (e.g., the National Heart Institute), or offering a variety of on-the-job assignments in many Institutes and Divisions. The Board felt that a major objective was to provide a broad perspective on the interrelationships of Institutes, the Public Health Service, and DHEW, since science administrators need some sense of roles and attitudes at different echelons.

The problems of balance frequently arose. Should one emphasize on-the-job training, or formal seminars on science and public policy? (Decision: Work experience should predominate.) What is the optimal training period—long enough, but not excessive? (Decision: 12 months.) Could qualification and recruitment standards be established that were neither too broad nor so selective that promising candidates might be overlooked? (Decision: Highly selective standards; recruitment directed mainly toward the professional associations, during their national meetings.)

Following his selection, each grants associate is assigned to a senior scientist who serves as preceptor and plans a series of assignments. Some assignments are mandatory, such as experience with a scientific review group and a research grants branch of an Institute. Typically, an associate has from 7 to 10 assignments during his year of training. The preceptor seeks an evaluation of the associate from each supervisor to whom he is assigned, and reports to the Board. During the last weeks of training, the availability of the associate is made known generally, and placement interviews are arranged.

Every effort is made to insure that these assignments are valuable. Supervisors are urged to avoid discussions of hypothetical problems; abstract reading material (e.g., manuals of organization and functions) in lieu of the *de facto* experience of administration; utilizing the associate's talents for onerous or routine projects.

According to the grants associates themselves, these experiences have seldom been "make work." The Public Health Service staff has endeavored to reflect in the training the current problems, accomplishments, and frustrations of the unit. A supervisor has to display tolerance and flexibility to provide such opportunity. It means apprising the trainee of the informal power structure, as well as the formalities. It means revealing the way a staff meeting is sometimes conducted—including all the irritations and histrionics.

Grants associates attend study section meetings (where research project proposals are reviewed), participate in site visits to universities, attend sessions of national advisory councils, and prepare reports for Congressional purposes. In fact, the associates are exposed to virtually the entire spectrum of grant activities.

In addition to these assignments, the program has included three types of seminars: (1) science policy and public administration, (2) DHEW functions, (3) informal sessions with NIH staff.

(1) The typical associate is a scientist with 2–5 years of post-doctoral research experience, but little, if any, training or experience in the principles and practice of public administration. To meet this need, seminars have included discussion of political theory, management of organizations, economics, the Congress, science and ethics, Presidential power, public opinion, and personnel and fiscal policies. University faculty have conducted such seminars, and participants have included an Associate Justice of the Supreme Court, a former Secretary of State, a university president, Counsels of Congressional committees, White House officials, historians, editors, and others prominent in public life.

(2) The formal seminars on DHEW are designed to acquaint the newly arrived associates with the functions of organizations within the Department. Senior staff, including the Surgeon General, the Director, NIH, and the Comptroller, DHEW, have been most willing to describe their responsibilities. Guest speakers discuss their jobs in a forthright manner, and respond to frank questions, even when indelicately phrased. The result has been understanding of the scope and limits of senior positions in the Department.

(3) The informal seminars are not structured as to topic, form, or schedule. Most often they have been luncheon conversations with an NIH staff member of long experience and the ability to philosophize about its implications.

PLACEMENT OF GRADUATES

About 50 scientists have completed the grants associates training program since its beginning in 1963, and virtually all have elected to pursue administration as a new career.

Many have been appointed to positions of broad responsibility, as a listing of a few titles indicates:

- Director, Division of Direct Health Services.
- Associate Director for Operations, Division of Research Facilities and Resources.
- Endocrinology Program Director, National Institute of Arthritis and Metabolic Diseases.
- Deputy Chief, NIH Latin American Office.
- Scientific and Technical Information Officer, National Cancer Institute.
- Executive Secretary, Metabolism Study Section, Division of Research Grants.

All of the graduates who have remained as staff members of the NIH have had a discernible impact on the character of its science-support programs. Their ideas have led to studies of operations research techniques, to analyses of biomedical trends, to stimulation of scientific fields and disciplines, to innovations in management methods, to a better understanding of science and public policy. Arriving at NIH as scientists, trained as administrators, they have taken their places as members of a young profession—the men and women who manage government science programs. Like all administrators, they work with masses of paper, albeit highly technical in nature. But they have no less responsibility than they had in the laboratory to pursue creative ideas that will enhance research and higher education.

EVALUATION OF PROGRAM

What has been learned from these few years of experience with this training program?

One conclusion relates to the utility of a broad training experience. Administration at NIH, as elsewhere, requires a balance between centralization and decentralization of functions, between individual authority and responsibility and group deliberation and decision. At NIH, science must be delicately balanced and interrelated with management. Within this tableau, people have different roles, and the roles necessarily change with circumstances. Thus, it has proved to be extraordinarily useful to expose a grants associate to a variety of roles—those that represent a healthy opposition as well as those that complement each other.

Another conclusion is that such a training activity is not inexpensive. There are the salaries of associates who are in a training status for a year. Recruitment, seminars, travel, and other aspects of the program are costly. Thus, one is impelled to use funds as efficiently as feasible.

Continuing professional identification is essential to morale and to performance. Attendance at one professional meeting in his field or scientific discipline is included in the training program for each associate.

Each of the associates has had a variety of job opportunities upon completion of the training. The Board has emphasized that the graduate be free to select the position most challenging. Thus far, the demand for scientist-administrators is such that there has been no difficulty in placing graduates in positions most appealing to them.

With respect to the future, the individuals who have designed and managed this program often discuss the feasibility of extending science-administration training activities. Specifically, it is felt than an exchange program between universities and science agencies could be mutually beneficial to academia and to the Federal establishment. What form this should take is still being discussed, but one conclusion has already been reached: A better understanding of governmental and university roles and responsibilities could well result from such an effort.

Changing the Pecking Order

By Harold Howe II, U.S. Commissioner of Education

". . . if we are conscientious in our effort to look at people, not paper, and offer honest second chances educationally, and professionally, we may be able to help a few skinny chickens get a little closer to the feeding trough."

THE BARNYARD HIERARCHY which chickens establish among themselves is a natural phenomenon that we all take for granted. We call it "the pecking order." It brings the larger, the stronger, or the more confident chickens to the feeding trough before the skinny, introverted ones, who most need to be fed. But in the hierarchy of social and occupational dominance, prestige and authority based on academic or titular credentials are human phenomena that I am afraid we cannot afford to take for granted. It is our somewhat artificial human pecking order that requires some examination.

It seems to me extremely important to the survival and the health of America that we find ways for the institutions which control opportunity in our society to do so with a concern for those people who have been denied opportunity by the shortcomings of the society.

It is of desperate importance in a viable and open social system that we learn to cherish and nurture a variety of talents with adequate appreciation for each. Former Secretary of Health, Education, and Welfare John Gardner pinpointed this neatly for us when he wrote:

> "An excellent plumber is infinitely more admirable than an incompetent philosopher. The society which scorns excellence in plumbing because plumbing is a humble activity and tolerates shoddiness in philosophy because it is an exalted activity will have neither good plumbing nor good philosophy. Neither its pipes nor its theories will hold water."

I'd like to go a step further and suggest that it is not inconceivable that our excellent plumber might also have the makings of an admirable philosopher. We have no accurate way of knowing that he would not. If we think he would not (and we probably do), it is most likely because he has no degree in philosophy.

Which may be a bit like saying that Socrates wasn't a good teacher because he had no teaching credential—and suggests that we have forgotten that Spinoza earned his living as a lens grinder and that Tom Edison quit school at the age of nine.

My point is that an academic degree or a diploma is a fairly good indicator of ability—but only in a negative sense; in the sense that a person who has such a degree or diploma is probably not intellectually *in*adequate.

But taking the symbol for the substance is not the hallmark of good and careful judgment or of attention to individual differences. We should never *automatically* assume that the person with some letters after his name will perform better than the person without those letters. We should never *automatically* assume that the person who has held a job precisely like one we are trying to fill will perform better than the person who has no comparable experience.

Unfortunately, people are individuals, and institutions deal in multitudes. There is never time to inspect each person, to grade him like a cut of beef, and stamp him

An address before the College Entrance Examination Board in Chicago, Ill., on October 24, 1967.

prime, choice, or good. Administrative necessity dictates the establishment of some criteria on which to base selection.

There is considerable evidence that public policy and institutional practice make it extremely difficult for competent but uncredentialled persons to have a fair crack at competitive situations, whether they be social, vocational, or educational.

Without question we need broad minimum standards in a whole basketful of categories. And we need efficient ways to determine whether or not our applicants meet those standards. But efficiency cannot be our only criterion. No matter what system we use to evaluate people, we need to build in provisions for unique individuals and reasonable allowance for not-so-unique individuals who have some special attribute.

I don't think we are terribly good at this.

At almost every level, in almost all fields, we find an automatic emphasis on credentials, a routine rigidity, whether the credential under consideration is a high school diploma, a Ph. D., or a certificate from a beauty college.

Before I cast any further stones (and I intend to do so), I'd like to make it clear that the Federal Government is hardly blameless in this area. This administration, under strong directive from President Johnson, has largely eliminated job discrimination against women and against minority groups. But other categories of discrimination still exist.

Let me quote from a study of equal employment opportunities within my shop, the Office of Education:

> "Overall, racial discrimination is not an important problem in the Office, certainly much less prevalent than in other institutions of society, but substantial attention could be given to . . . the credential of a college degree which is evidently more important for advancement in OE than competence itself."

Elsewhere the report is more specific: "The chance of a noncollege person being promoted across the grade nine-ten barrier (this refers to Civil Service categories nine and ten) is negligible, while the possibility of a college person being promoted across the barrier in a reasonable number of years (say three) is very high. OE policy appears to say that virtually no one without a college degree is capable of handling work above Civil Service grade nine."

The most heartening element of this report is the absence of racial discrimination per se within the Office—but I'm not sure our overdependence on sheepskin and degrees is not, in its own way, an inadvertent racial discrimination.

Professor S. M. Miller of New York University made this point last year in a paper called "Credentialism and the Education System." Pointing out that education once served as a means of ascendancy for the poor, he said it is now "becoming a bar to the new poor's effort to change conditions. Today the insistence on education as a prerequisite for jobs is becoming a barrier to the occupational ascendancy of today's disprivileged.

"We have become a credential society, where one's educational level is more important than what he can do. People cannot obtain jobs that they could well fill because they lack educational qualifications. Negroes who dropped out of the educational steeplechase before getting a high school diploma cannot get jobs. Employers and the better-off do not feel that there is discrimination; rather the low-educated are 'not qualified.' "

This credentialling myopia is by no means confined to the disadvantaged. In almost every occupation, at almost every level, one finds certification requirements of one kind or another locking people out of situations in which they might well be substantial contributors. This remains true, though we know that new technology changes job functions so fast that adaptability may be more essential in a prospective employee than any specific knowledge or specific training.

Classified ad columns are full of jobs for deliverymen, parking attendants, elevator operators, etc.—who need not have experience as long as they have high school diplomas. Though a high school education may not contribute much to the skill of an elevator operator, it does simplify the task of a personnel manager who knows that his applicants are likely to be conformists, if nothing more.

The official directory of the City of New York has 47 pages of very small type that list licenses, permits, or certification requirements for such diverse occupations as midwifery, opthalmic dispensary traineeships, undertakers, oil-burner operators, and funeral directors' apprentices.

A recent letter to members of a private university club in New York City announced the appointment of a man whom I shall fictitiously call Charles Chan as general manager. It identified him as Charles Chan, CCM. What is CCM? Certified Club Manager.

I don't mean to suggest that I am against letters after people's names, nor am I against any sort of effort to insure competence or adequate skills on the part of midwives or undertakers.

What does concern me is that the route into an increasing number of occupations is a specific educational route and, for some professions, that route begins close to infancy and makes no provision for detours.

Author John Keats has written of the ferocious competition for entrance to private nursery schools. In New York City, such preschools report over 150 applications for every vacancy. This kind of competition stems from parental concern for their children's entrance into elementary and preparatory school (which is easier for a graduate of a "good" nursery school), and aims ultimately, of course, at entrance into a "good" college. Anxious parents have been known to hire tutors to coach three-year-olds on the Stanford Binet test and to change

their religious affiliation to secure placement in desirable church-sponsored schools.

Again, I'm not against private nursery schools nor against parents who want the best education for their children. My concern is that this credential-laden rat race doesn't permit society to establish meaningful criteria and standards that apply to the population as a whole. Nor does it allow adequately for exceptions.

A society that prides itself on equality of opportunity must somehow learn to accommodate those children who are least likely to collect adequate credentials but who may have unrealized potential to succeed in demanding tasks.

There are many bright children in inner-city schools. I think that there is a reasonable doubt that they get a fair shake. It may well be, as Marshall McLuhan has said, that it is the bright kids who drop out because school "is not where the action is." Certainly bright people drop out of college and graduate schools. But typically our schools and colleges have acted as selection agents on an economic basis (and therefore on a racial basis) rather than as purveyors of equal opportunity.

In the last few years we have established a new doctrine for elementary and secondary education; its premise is that equal educational opportunity does not result from treating all pupils equally.

The underlying basis for the Elementary and Secondary Education Act of 1965 is the conviction that our schools must do more for those pupils who come to school with less—and this includes, but is not limited to, spending more per pupil for their education.

Now it is time to ask what the colleges have done (and what they propose to do) in order to reflect this new philosophy in higher education; how they plan to give students the educational opportunities that will help them progress; and when they will forego their role as sorting out institutions serving the "haves" and ignoring the "have-nots."

We have to remember that the high school student who sticks it out because he knows he can earn almost twice as much as his dropout friend (even if his friend is brighter) isn't *always* more valuable to society than the dropout. The student who stays in college knowing that he will probably earn $150,000 more than his friend who drops out is not *necessarily* an inquiring intellect. The graduate student writing his thesis on the Subliminal Use of Visual Symbols in 14th and 15th Century Prose and Poetry may not be on an educational quest of much significance even though it will gain him a credential. He may be, as suggested by Kingsley Amis, engaging in the Teutonic academic tradition of "casting pseudo-light on non-problems."

The promising law student who elects a law school that confers a Doctor of Jurisprudence instead of Harvard, which confers a Bachelor of Laws, is probably a realist. He knows that the JD can make him an instant assistant professor if he chooses to teach after graduation. With an LL.B., even from Harvard, he will probably only be offered an instructorship, although the course work and skills required for the LL.B. may be more demanding.

Until we learn how to tell when people are competent, we will continue to have a great many people going to school for the wrong reasons and a great many more who are not going to school for the wrong reasons. As managers and as admissions officers we are going to lose a lot of "mute, inglorious Miltons" unless we find some better ways to measure potential ability and unless we can serve larger numbers of people with an education which helps the individual reach the credential rather than failing him because he cannot reach it in the same fashion as others.

I don't know what the answer is; perhaps if we could confer Ph. D.'s along with citizenship and a social security number at birth, our schools would change from credentialling agencies to incubators of culture and centers of intellectual ferment. Barring such a development, we need, at the very least, to find new ways to credential people who missed their footing on some step of the social, economic, and educational escalator.

There is a paradox here: We've committed ourselves to the credentialling system, and now we need to find ways to beat it. The institutions which are involved in it must now learn to act on behalf of the people who are affected by it. Some institutions are already beginning to take an interest in high risk students, and the Federal Government is helping support their efforts through Upward Bound, Talent Search, and a number of other compensatory programs.

But institutional efforts must go beyond taking these less credentialled youngsters into their hallowed halls; the institutions will have to offer them special support services after they get there—we can't just get rid of them if they start to fail. If their intellectual foundations are weak, then we will have to do a rebuilding job.

This is going to demand some major adjustments on the part of institutions—not a lowering of standards but the introduction of flexibility. If a student comes from a deprived background, the college has to read that into his record and learn to identify his talent and ability even though his test scores do not show it in conventional ways.

This also means that we have to read the disadvantaged background factor into college entrance examination scores before making decisions on admission. If we consider tests as diagnostic devices, they can be used to include, rather than exclude. Thus a youngster who is far behind in math may be admitted, but required to take a special compensatory math course. Perhaps colleges should add a whole year of pre-college compensatory work to the regular curriculum offerings. We're all living longer nowadays. There is no reason that some of us can't take 5 years to get through college. If the added time will bring success, it's more than worth it.

Our country has a tremendous investment in this sort of rebuilding. We simply can't let a whole generation go

by because we've just learned the lessons of Head Start and are waiting for last year's pre-schoolers to reach college age. We must get some of these people into colleges now so that we can graduate more Mexican-Americans and more Negroes now. Otherwise we are going to end up with a rigidly stratified society because the whole credentialling system serves the middle class and rejects the less fortunate.

All our carefully developed forms of exclusion might make economic (if not moral) sense if society was oversupplied with skilled manpower. At a time when we face desperate shortages in almost all professions and skilled trades, it is wasteful and dangerous.

Let's take teaching for an example. Accumulated data from elementary and secondary school districts across the Nation show a shortage of over 200,000 certified teachers. What does that mean? What does it take to be a certified teacher? If we move, from locality to locality, from coast to coast, we find a conflicting array of certification requirements. Do they make sense? Often they do. But let's examine an individual instance:

A woman in her late twenties, a graduate of Smith College, had taught English successfully in a French school in Paris for two years, had been an editorial assistant on *Réalités* for one year, and had taught French in a private preparatory school in Pennsylvania for 2 years. She moved to another State and applied for a job teaching French in a suburban, public elementary school.

I don't need to tell you what happened. No job, because of lack of credentials. I probably don't need to tell you, either, that a majority of States do not require language teachers to be able to speak the language they are to teach; an unfortunately large number of language teachers cannot do so.

I am sure there is an abundance of qualified but uncredentialled (note that I resist saying the reverse—credentialled but unqualified) talent available to the elementary and secondary school classrooms of this Nation. But the benefits of this talent will continue to elude us as long as we are locked into a rigid credentialling system that permits us, out of fear, laziness, or irresponsibility, to abandon the exercise of judgment when we make decisions about people.

I might add that there are signs of a break-through on the credential problem. Although I know some Congressmen who would not consider it a virtue, both President Kennedy and President Johnson have set an example by appointing Commissioners of Education who lacked an advanced degree. On the other side of the coin is the fact that neither of these Commissioners can meet the new credentials of the American Association of School Administrators.

Those who are already established in a profession or occupation are usually responsible for maintaining its standards. When a credentialling review committee is established, somehow its members always come up with tougher entrance requirements. Rarely does anyone ever suggest making it easier to get in and the possibility of getting some good people that way.

It is human nature to want to keep our club hard to get into; logic always loses when the ego is threatened. Even public relations, the last refuge for eclectic self-educated talent (after metropolitan newspapers began requiring journalism degrees for copyboys), recently instituted tough credentialling procedures—so tough that only 17 percent of the present members of the national society were able to pass the examination. Nonetheless, new applicants will have to do so or the national society won't accept them.

These are not frivolous matters. When we determine the educational and vocational limits of individual lives by such practices, procedures, and symbols, we not only do injustice to the individual but we inflict a potential talent loss of inestimable consequence to the Nation.

What can we do about it? We certainly cannot do away with credentials—they are as much a part of the contemporary scene as taxes and television (and I have mixed feelings about all three).

But we can minimize their impact of a negative kind by having the wisdom to use them wisely and flexibly. We can, as I said earlier, develop some new ways to acquire them. Several Federal programs focus on this problem. They are aimed at developing new careers for the poor, jobs that provide semiprofessional status in the fields of medicine and education. We *can* do this; we can break down the professional role so that subprofessional jobs open up. More importantly we can relate the subprofessional role to the professional so that a person can shift from one to the other with greater ease. There are plenty of teacher aides and nurses aides who would make good teachers or good nurses if we could provide special training programs for them and persuade the professional establishment to accept their ability to perform professional tasks despite the absence of some of the traditionally required credentials.

We can give more credit for experience in hiring, and in selecting people for educational institutions. Example: Undergraduate credit for Peace Corps experience.

Colleges and universities might relax entrance requirements for master's degree candidates. Gifted college dropouts with 10 or 15 years' subsequent experience who wish to enter a master's degree program should, perhaps, be able to get a waiver of their undergraduate degree.

We must remember that some people will learn whether or not they have the advantage of college experience; that some other people, if they have staying power, can end up with degrees that really don't mean much.

We can continue to search for better ways to evaluate people, more sophisticated ways to measure ability, skill, and potential. And finally, we can build escape clauses into all our certifying, credentialling, and admissions procedures to allow individual consideration of people with special situations, unique talents, or measurable handicaps.

None of this is enough to change radically the pecking order, but if we are conscientious in our effort to look at people, not paper, and offer honest second chances educationally and professionally, we may be able to help a few skinny chickens get a little closer to the feeding trough.

SHELF-HELP

Since the early 1950's the literature about the Federal Government has become increasingly behaviorally oriented—with the emphasis on process rather than on the structure of the institutions. Most observers would agree that the contributions of the scientifically trained social scientists have been significant. However, the need for institutional studies utilizing traditional research methods continues. In recent years the need has actually increased because of the establishment of new departments and agencies and the vast amount of legislation adding new functions to old-line organizations. The general reader has little to guide him through the maze of the organizational structure and processes of the Federal Government.

The student has a particular problem in acquiring a "feel" for an organization as he approaches the job market. Recruiting literature, by its very nature, is brief and designed to capture attention. Organization manuals make heavy reading, and do not convey the spirit of the organizations they describe.

Frederick A. Praeger, Publishers, a subsidiary of Encyclopedia Britannica, has recently announced the publication of its first nine books about U.S. Government departments and agencies. Eventually, every major department and agency will be included in this series—with more than 100 volumes projected.

Consulting editors for this undertaking are Ernest S. Griffith, a former Dean at American University, and Hugh Langdon Elsbree, former Chairman of the Political Science Department at Dartmouth College. Both editors are former directors of the Legislative Reference Service, Library of Congress.

Each volume in this series describes the origin, development, scope, structure, and methods of operation of a Federal department or agency. It examines the internal relationships of the department with other agencies, the President, and the Congress, as well as its external relationships with other Governmental jurisdictions and with the general public.

The first nine volumes cover: The Department of Housing and Urban Development, the Department of Justice, the Federal Aviation Agency, the Environmental Science Services Administration, the Agricultural Research Service, the United States Army, the United States Air Force, the United States Marine Corps, and the Alaska Railroad.

Typical of the style of these volumes is John B. Willmann's book on the Department of Housing and Urban Development (HUD). Mr. Willmann is Real Estate Editor of the *Washington Post*, and a past president of the National Association of Real Estate Editors. Mr. Willmann describes the Department's predecessor agencies in housing and urban affairs and the legislative background leading up to its establishment. Individual chapters deal with HUD's divisions for mortgage credit, housing assistance, and metropolitan development. Of particular interest is the chapter dealing with the "Model Cities" program.

A lesser known but highly important organization in the home financing field, the Federal National Mortgage Association, is also described and analyzed.

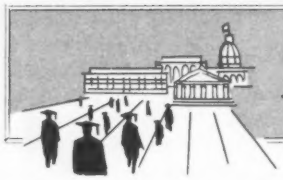
The volume contains some very useful appendixes. They include the full text of the "Model Cities" legislation, the locations of HUD regional offices and FHA insuring offices across the country, and a brief description of the anticipated manpower needs, by occupation, of the department.

Sixteen more titles are currently in preparation, covering both major departments and small agencies. Even bureaus of departments are included, such as the Bureau of Labor Statistics and the Bureau of Indian Affairs. Although these volumes will not satisfy the Governmental expert on any one department, they will be useful to general readers, students, and new employees at all levels in the Federal Government.

A SUBJECT of continuing interest to Government officials, political scientists, and individual citizens is the Ombudsman. As it currently operates in Scandinavia and is approximated in a few American cities and States, the Ombudsman is "an independent, high level official who receives, investigates, and recommends action on citizen complaints." Prentice-Hall's, *Ombudsmen for American Government?* (Copyright 1968, The American Assembly, Columbia University), edited by Stanley V. Anderson, captures some of the best thinking in recent years on the subject. This volume was prepared as background reading for the Thirty-Second American Assembly at Arden House.

The Ombudsman is billed as an effective instrument in combating distant, unresponsive Government. The pros and cons of the arguments about the office of Ombudsman are presented. Of special interest to American readers are the discussions about the special problems of transplanting the idea to this country. The book concludes that Americans should experiment with the Ombudsman concept "as an additional protection for the public against occasional abuses of public servants."

—William A. Medina
Chief, Resource Coordination Division



RECRUITERS ROUNDUP

In June the Civil Service Commission sponsored a Conference on Administration of Career Trainee Programs at the General Washington Inn, Fredericksburg, Va. This conference, planned with the assistance of an IAG Committee on Intern Programs for Recent College Graduates, focused on the young college-level hire entering the Federal service. More than 70 personnel officials representing 30 Government agencies participated in the 3-day program.

The demand for excellence in the public service has made the development of career trainees a matter of paramount importance. Particularly crucial is the interval between the trainee's initial assignment and his journeyman-level target position, chosen from among a multitude of administrative, professional, and technical career occupations.

Each year the Federal Government spends millions of dollars to recruit thousands of college-educated people in hundreds of occupations. In 1967, more than 24,000 persons were recruited for entry-level technical and nontechnical positions, and most of them were recent college graduates.

This precious talent cannot be allowed to stagnate or be lost because of disappointment, disillusionment, or frustration. It is from this manpower source that Government must develop its top managers and professionals for the year 2000.

The key to the problem of attracting, retaining, and utilizing a good share of educated and talented young people lies in a positive program of career staffing and development. As a means of stimulating agency action to improve existing career trainee programs and to establish new ones, the conference was designed to aim at four major objectives:

- to serve as a forum for the exchange of experiences and ideas among distinguished representatives from Government, industry, and the academic world
- to constitute the initial building block for a new body of knowledge and a more effective communication network
- to represent the beginning of a formal program assistance effort on the part of the CSC in the total range of career trainee programs
- to generate creative, knowledgeable, and productive input from agency officials for use in formulating guidelines on the development of training programs for recent college graduates.

PROGRAM COVERAGE

The keynote address given by Chairman Macy on Wednesday evening emphasized the importance of career systems in Government, and called for concerted action in the Federal community to mobilize and develop the great potential of the recent college graduate. Referring to the desire of these young people to contribute, to do something of consequence, and to make an impact, he stated that it is our challenge to capture and effectively apply their talent, energy, and enthusiasm to the continuing tasks facing our Government in the last third of the 20th century.

The following morning, Dr. Francis Gramlich, Professor of Intellectual and Moral Philosophy at Dartmouth College, analyzed "A Student's Perception of the World of Work," and discussed the desire of young college people for independence, honesty, and objectivity, a social dimension to their work, and an opportunity to test themselves on the job.

His presentation was followed by a panel on "The Career Trainee Environment." The two panelists, Wayne W. Hudgins of IBM and Walter C. Brandt of C & P Telephone, described the programs that their respective companies have adopted for training and developing college-level hires.

In the afternoon, a panel of personnel directors—Carl Barnes from Agriculture, John Will from Commerce, and Charles Mullaly from Army—reviewed what has been done and what can be done to improve training programs in Government for recent college graduates. That evening, Alan Dean, Assistant Secretary for Administration, Department of Transportation, tackled the problems involved in planning, budgeting for, and evaluating career trainee programs.

The final speaker, Dr. Samuel DeWitt Proctor of the Institute for Services to Education, Inc., talked about the minority group employee as a career trainee. In discussing the "genealogy of despair," the ambivalence encountered by today's disadvantaged young people, and the need to relate learning to life, he offered insights into the development of members of minority groups.

The speakers and panels set the stage for the workshops. Groups were set up to examine six aspects of career trainee programs:

- program concepts
- career trainee assignments
- education and training

- selecting and motivating supervisors
- counseling and followup
- program coordination and evaluation.

These sessions provided an opportunity for agency officials to consider problems of and prospects for career development programs in some detail. Written summaries of each workgroup's findings have been prepared and will be distributed to agencies for their information and use in the development of career trainee programs.

A conference has been defined as "a gathering of important people who singly can do nothing, but together can decide that nothing can be done." This rather cynical view did not apply to the Conference on Administration of Career Trainee Programs. In retrospect, this conference could be defined as a gathering of important people who singly have done a great deal, but together decided that far more could be done—and offered many excellent ideas for agency action.

There were some weaknesses, of course. The agenda was considered too full for the time available. In view of the diversity of agency programs and positions, the workshop problems were too general for close analysis. Participation by line managers and selected career trainees themselves would have added perspective to discussions and conclusions.

In general, however, reactions of the participants were very favorable: ". . . This was the type of conference needed. . . . It was meaningful and stimulating. . . . I found the program to be extremely informative and useful. . . . It will have some dynamic effects on agency career trainee programs. . . ."

PLANS FOR THE FUTURE

The ultimate value of this conference will depend in large measure on follow-up activities. An awareness of the problems involved in administering career trainee programs has been cultivated. Promising avenues for future action have been partially constructed.

In order to sustain and expand the impetus and interest generated by the conference, the following steps have been planned:

- publicize the results of the conference
- prepare a set of materials based on the workshop reports which will be helpful to agency officials in planning for and developing college-level hires
- bring agency officials together on a continuing basis to exchange ideas and experiences relating to career assignments and development
- disseminate information on the conference for possible use in developing similar programs for agency representatives outside the Washington area.

—Claudia Cooley
Manpower Sources Division

LABOR-MANAGEMENT RELATIONS

THE OBJECTIVES OF UNIONISM IN THE FEDERAL SERVICE

The growth of unionism in the Federal Government has accelerated so in recent years that some 45 percent of the work force—one and a quarter million employees—are now covered by exclusive recognition. The 2-year growth from 1965 to 1967 in coverage of nonpostal employees was more than 100 percent. (I exclude postal employees because they were already 90 percent organized.) Nearly 200 separate unions are recognized. Some 811,000 employees are on voluntary dues checkoff, their total dues payments running at a rate of $23¼ million a year.

The impact on Federal personnel administration is considerable. Some good, some bad—but none inconsequential. In the Civil Service Commission, we have devoted much of our time during the past 2 years to the evaluation of that impact and its meaning for the future. Not in terms of crystal-balling how much more growth or how strong the union influence, for these are somewhat beside the point, I think. Rather, it has been our purpose to discern what the true role or function of unionism should be in Government and how the existing institutions and arrangements for personnel administration should react or adjust to the union influence.

The product of our study, approved by the Commission last fall, is framed in terms of six broad objectives. These are the policies we stand for and the goals we seek, both short and long range. They are the principles the Commission has adopted to guide the direction and tone of its own future actions and to influence those of the operating departments of Government.

(1) To recognize and accept as constructive the functions unions traditionally serve in the work place:

- Forcing top management attention to employee problems and interests,

—From a speech delivered by W. V. Gill, Director, Office of Labor-Management Relations, at the National Conference of the Society for Personnel Administration, Washington, D.C., June 6, 1968.

- Seeking justice for employees and respect for individual and group rights, and
- Cooperating with management by:
  (1) promoting job safety, encouraging work saving ideas, helping to communicate management attitude and information to the employees and employee attitude and information to management, and
  (2) mollifying or restraining the eccentric or chronic grievant.

(2) To seek to enlarge the constructive union function in Government by enlisting the unions' support for:

- General improvements in personnel management designed to improve the quality of public service, and
- Specific public policies such as employment of the handicapped, equal employment opportunity, the status of women, youth opportunity, improved service to the public, and so forth.

(3) To support agency-union consultation and negotiation in the full scope authorized by law, while:

- Guarding, on the one hand, against concession at the expense of the public interest, merely to achieve labor-management peace, and, at the other end of the spectrum,
- Guarding against rigidity or mismanagement which would so infringe employee or union rights as to bring about demonstrations, work stoppages, or other militant objections.

(4) To protect and preserve the quality aspects of merit policies and procedures, but with a willingness to change old rituals if they are only incidentally related to merit principles.

(5) To support third-party impartial action in disputes, in order to:

- Reduce end-runs on grievances which take cases outside the agreed procedures for grievance handling, e.g., to the press, to the Commission, or to the Congress
- Provide effective rebuttal to unwarranted charges as well as just action on those that are warranted, and generally
- Prevent accumulations of dissatisfaction which damage the basic employee-management relationship.

(6) To strengthen Government managers' and supervisors':

- Understanding of and identification with their management role, and
- Acceptance of their management responsibility to deal fairly with employees and their representatives.

These principles indicate rather clearly, I think, our conclusion that labor-management relations is a force of major importance in Federal personnel administration and that overall it is a *good* force and one whose constructive potential should be encouraged.

We would not have reached these conclusions if we believed that Federal unionism is fraught with danger of strikes or other militant interruptions to the work of Government. Indeed, we could not have, for a very basic purpose of having a career civil service is to insure the continuity of Government.

We are, of course, very much aware of the rapid rise in strikes by public employees in local government jurisdictions. Strike talk and unrest have developed among some employees in the Federal service. We view this seriously but so far without alarm. We have followed very closely all strike and potential strike incidents throughout the service since the formal labor-management relations program began in 1962. The fact is that there has been no great problem—despite some erroneous reports in the press and alarmist remarks by uninformed observers.

We have no complacency on this matter. On the contrary, in cooperation with the operating departments, we maintain very careful surveillance throughout the service in order to insure early warning of potential trouble and quick action to head it off. Our purpose is preventive, and the actions in nearly all cases have been effective in resolving potential incidents satisfactorily. There have been 15 actual incidents of potential strike, work stoppage, slowdown, or picketing in violation of the law during the past 6 years. All but three have been averted. The only strike was at TVA in August 1962, and the 81 employees involved had to be fired. The other two incidents both occurred in the past 6 months and final decisions have not yet been made on the cases. One was a walkout of some postal employees in Newark, N.J., and the other a case of picketing by Weather Bureau employees in New York.

Of course, we have to make contingency plans to insure the continuity of Government operations in the event strikes do occur. In a work force of nearly three million you have to bank on the possibility that anything can happen and be prepared to deal with it. Our Federal law requires dismissal of employees, and we have to enforce the law. So, just as in the event of enemy attack on the country or natural disasters, we need to be ready to cope anywhere with possible need for emergency action to maintain operations and replace personnel.

Returning to my main theme, however, our best appraisal is that the Federal labor relations program has been good for the employees, good for the unions, and good for the Government service. A number of the specific policies and arrangements prescribed by Executive Order 10988 in 1962 are no longer wholly suitable. I expect that they will be changed in the near future as a result of the Presidential Review Committee's studies. But in our judgment the program is basically sound, it is thriving, and the prospects for the future are bright.

TRIAL THROUGH CONSOLIDATION:

by Jerome F. Bahr
Public Affairs Staff
Defense Supply Agency

THE PERSONNEL MANAGEMENT CHALLENGE inherent in the meshing of thousands of employees speaking the diverse tongues of different regulations and procedures was one of the major obstacles that creators of the Defense Supply Agency (DSA) had to overcome in forging a modern, streamlined supply and service organization for the Department of Defense.

Last year the Defense Supply Agency procured and distributed for the military services and other elements of the Federal Government more than $6 billion worth of commonly used supplies. These ranged from such categories as food, clothing and textiles, electronic parts, and fuel and petroleum products to medical, chemical, industrial, construction, and general supplies. All the advantages of modern inventions, including the extensive use of computers and high-speed communications networks, were utilized in DSA's management of nearly 1¾ million items of supply.

An industrial ammunition inspector makes final check of the casing of 60mm mortar shells prior to painting at an ammunition plant in Danville, Pa. Administering the defense contracts of plants is a major mission of the Defense Supply Agency.

The Defense Supply Agency Story

MAJOR SERVICES

In addition, this comparatively new organization performed a variety of major services. These included direction of defense contracts valued at $49 billion; management of $4.2 billion worth of industrial plant equipment; administration of the Federal Supply Catalog containing some 4 million items; and supervision of such Defense-wide programs as materiel utilization, surplus property disposal, coordinated procurement, and defense documentation retrieval.

All this was done by a military agency with a personnel strength of 62,000—of which more than 98 percent are civilians. The story of how these civil servants coming from all levels of the Army, Navy, and Air Force had to forget old procedures and familiar jargon to reidentify with an entirely new agency image is an interesting chapter in the annals of civilian personnel management.

When the Defense Supply Agency became operational on January 1, 1962, it inherited important gains made by the military services. One thing that made it possible for entire blocks of personnel to be moved intact to the new agency was the Single Manager system—in which the Secretary of one military department became responsible for the integrated management, including procurement and distribution, of a specified category of supplies for all the services.

For example, under the Single Manager system, Army had the mission for procurement and distribution of food, clothing, and textiles; the Navy, of medical and dental supplies and bulk petroleum. These large, multi-million-dollar purchasing and inventory control operations, along with others in different categories, were transferred lock, stock, and barrel to DSA.

NATIONWIDE NETWORK

Today, as a result of these and subsequent consolidations, DSA operates a nationwide network of six supply centers, four service centers, four depots, and a number of headquarters field extension offices. The Defense Personnel Support Center at Philadelphia is among the largest of the DSA field activities, managing an inventory of clothing and textiles, food, and medical items valued at more than $1 billion.

In the field, the problem of Agency assimilation was relatively simple since there was no dramatic confrontation of different policies, procedures, and terminology. Much of this basic spade work had already been accomplished by the Single Managers. Even in the matter of civilian personnel procedures, which naturally spanned all these separate activities, the task was somewhat simplified by the decision to follow Government-wide practices wherever possible.

"We didn't find it necessary to publish voluminous regulations," states Walter G. Ingerski, Director of Civilian Personnel, who was one of the charter members of the Agency. "We operated under the Federal Personnel Manual from the start."

BASIC APPROACH

However, at Agency headquarters in Alexandria, Va., the atmosphere was nevertheless challenging. As civilian personnel poured in from the three services, each group carrying with it different traditions and ways of doing things, it became apparent that only one basic approach was possible, namely, to try to choose the best methods from each service represented.

Surprisingly enough, this approach resulted in a cohesive work force almost from the start. The high caliber of personnel involved in the transfer, for one thing, encouraged an open-minded view toward most problems, and the cross-fertilization of talent resulting from the consolidation was stimulating in the extreme.

An indication of the wide variety of talent fed into the Agency is reflected in the backgrounds of some of the more prominent personnel who have served there.

TALENT FROM DOD

Dr. Robert B. Stegmaier, Jr., who heads the Defense Documentation Center, came to the Agency from the Department of Defense, where he had been responsible for establishing the groundwork for a technical information system for the military services.

FROM ARMY

From the Army came Robert M. Lemke, who now is in charge of DSA's Office of Counsel. He and his staff studied the legal organizations of the Army, Navy, and Air Force, all of which have different systems, and took parts of each which would apply to DSA as the basis for the Agency's legal organization.

Another man from Army was Edward H. Neese, Deputy Executive Director for Supply Operations at DSA headquarters, who began his Federal career as a messenger.

FROM NAVY

An example of a man who has continued to climb is Robert C. Moot, who joined the Agency after serving as Comptroller for the Bureau of Supplies and Accounts in the Navy Department. From his DSA Comptroller position he moved on to become a Deputy Assistant Secretary of Defense and now is Deputy Director of Small Business Administration.

The Navy is still well represented at DSA with such civilian personnel as Keith Adams in the Directorate for Plans, Programs, and Systems, and Mrs. Ellen B. Rhudy, Personnel Management Specialist. Mrs. Rhudy assisted in the handling of large numbers of functional transfers by visits to the various field activities.

FROM AIR FORCE

The Air Force contributed Hugh R. Carrington, who is second in command at the Defense Industrial Plant

Equipment Center at Memphis. He was the senior civilian Air Force member of the planning staff that established the Center.

Another Air Force contribution is Edwin Greiner, until recently the Deputy Director of DSA's Technical and Logistics Services Directorate. He entered Government service in 1949 under the Junior Management Assistant program and later received the Air Force Meritorious Civilian Service Award. He is presently with the Assistant Secretary of Defense (Systems Analysis).

These individuals, along with many others, brought to DSA the best in their specific fields.

NEW MISSION

A major test, however, came when DSA was assigned the mission of Defense contract administration. In 1965, nearly 20,000 military and civilian employees who previously performed field contract administration work in the military departments were consolidated under DSA as a Deputy Directorate called Defense Contract Administration Services (DCAS). The majority of these employees were absorbed into 11 DCAS regions across the United States. Within 1 year of operations, there was assigned to DCAS more than 20,000 prime contracts for full administration and another 120,000 for partial administration.

At the start, it was recognized that this consolidation presented a personnel management challenge of great magnitude. There was no opportunity to move great numbers of people as a single activity with common policies, procedures, and terminology, as was the case with the transfer of the Single Managers.

On the contrary, personnel from the Army, Navy, Air Force, and DSA—all with different agency identifications and the attendant differences in method, language, and policy—had to be merged into one organization that could turn a single face to industry. It was decided as a matter of course that the consolidation should be engineered with a minimum adverse impact on the people involved, not only for obvious humanitarian reasons, but also because these people had the skills to perform the functions of the new organization.

DSA's Responsible Employer's Program, in existence since the fall of 1963, provided the basic personnel management philosophy for the conversion. Its premise was that the maintenance of efficiency and economy of operations was paramount, but that the interests of the employees involved would be fully protected while achieving the desired goals. Disruption of the work force could be held to a minimum by careful planning and adequate execution time.

COMMITMENT TO EMPLOYEES

A commitment was made to offer every affected employee a place in the new organization, and substantial effort was made to hold down the number of involuntary changes in duty station. Separations would occur only when employees declined offers to accompany their functions, and demotions would be effected only as a last resort.

With these goals, the services were requested to identify the employees whose functions were being transferred to DSA. Under an automated system, more than 18,000 names were placed on punch cards and matched with positions in the new organization. Approximately 2,000 of this number failed to match vacancies. An active job search for these people, along with normal attrition, soon reduced the number of people needing jobs to 160. Eventually, positions were found for everyone who wanted to transfer with the functions.

In the main, the consolidation was conducted as a joint operation of the military services and DSA. At DSA headquarters in Alexandria, Va., a National Planning Group was formed, primarily of personnel from field units of the military services. The considerable rotation of these people helped provide employees in the field with a feeling of identification.

NATIONAL PLANNING GROUP

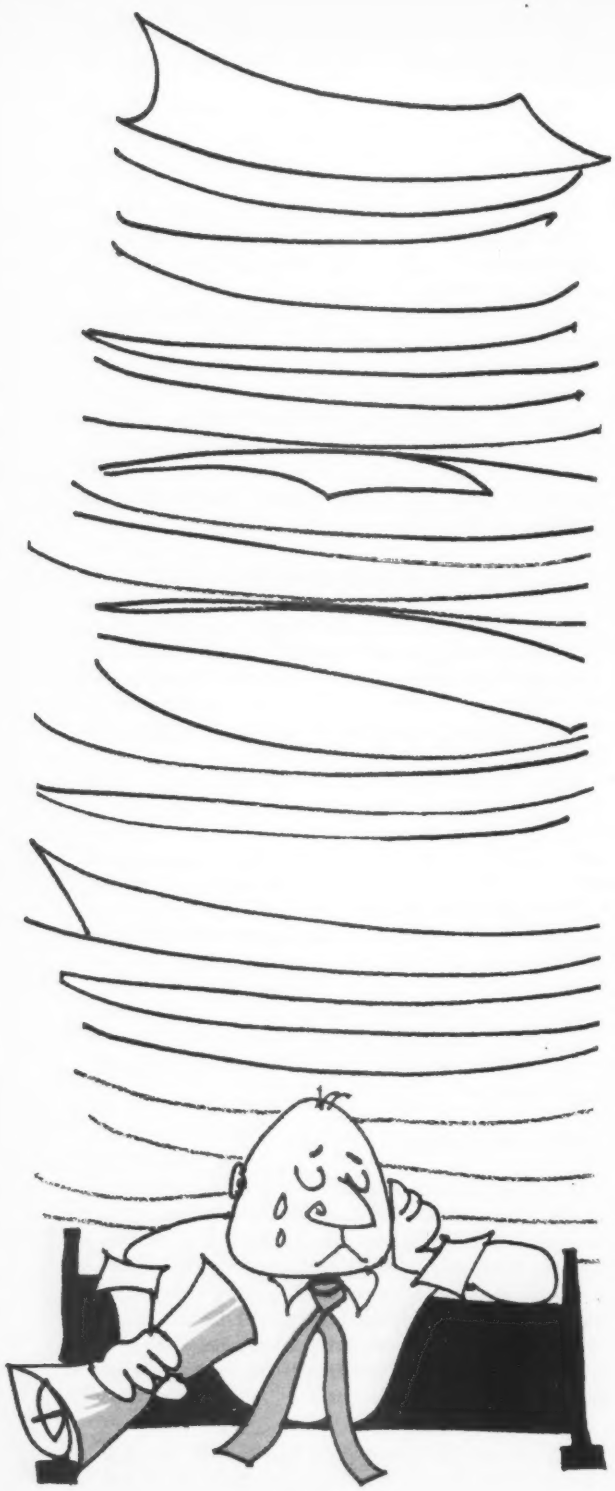
Regional Coordinating Committees, consisting of civilian and military representatives from all the services, were established throughout the country. On the roster of these key committees were specialists in personnel, industrial security, quality assurance, and other major categories prevalent in contract administration.

The National Planning Group dispatched briefing teams to the field for the purpose of explaining the project and assuring the employees that everyone would receive an offer of continuing employment. A number of letters were sent to each individual affected by the transfer.

Throughout the consolidation, a major motive prevailing at all times was the desire on the part of DSA to show the employees involved that genuine consideration was being given to their interests. Because the employees had a high sense of loyalty to the mission they were performing, an effort was made to show them that they would be able to work with even greater effectiveness in the new organization.

PROOF OF SUCCESS

Proof that the consolidation, undoubtedly one of the largest in the history of civilian personnel action, was successful is the 92.8 percent acceptance of the offers made by the Agency. Today the Defense Supply Agency is an efficient organization, having managed to take its various consolidation hurdles in stride. DSA has demonstrated that it can accomplish its two major missions: support the military services effectively in war and peace, and do the job at the lowest cost.



The FPM and Navy's new Civilian Manpower Directives System

by Philip Meyerson
Director, Programs Support Division
Office of Civilian Manpower Management
Department of the Navy

THE DEPARTMENT OF THE NAVY has begun operations under a streamlined and refreshingly simplified system of communicating the countless rules, regulations, and policy statements that affect the management and administration of our huge civilian work force.

As the Honorable Randolph S. Driver, Assistant Secretary of the Navy (Manpower and Reserve Affairs) has pointed out:

"This new approach, which was inaugurated on May 31, 1968, recognizes the substantial advantages to the Naval Establishment of a full tie-in with the official system for conveying Government-wide civil service requirements and guidelines. Extensive analysis of alternatives to our former body of instructions led to this clear conclusion: That the Department's objectives and needs would be best served by a system of supplementation of the Federal Personnel Manual. Out of that decision grew Navy's four-component Civilian Manpower Directives System, which is now in operation. Our new system and its background and rationale are described here."

To many, the label "Civilian Manpower Directives System" may seem more ominous than meaningful. Let's clear that up in a hurry. What is really and simply meant by that imposing collection of words is this: It is the particular ways and means employed by Navy to communicate what has to be said about civilian personnel management and administration. Just what it is that "has to be said" may be determined by a variety of developments—an act of Congress, an Executive order, a Department of Defense directive, a statement of agency policy, etc. However, it is the selected media and means of conveying the instructions which stem from such developments that make up a directives system.

For more than 20 years now, civilian personnel management and administration throughout the Naval Establishment has been governed and controlled through a series of regulations called Navy Civilian Personnel Instructions. These "NCPI's" were, in effect, our directives

system. The NCPI system was a good one and it performed yeoman service over the years. At a time when hiring dominated the personnel function, it provided the kind of detailed direction and uniformity that made mass employment operations not only possible but successful. At a time when agencies were being bombarded by the often confusing and sometimes conflicting requirements of various outside authorities, it consolidated and clarified whatever material had to be issued. At a time when protection of employees and direction and control of supervisors were, in themselves, major goals, it provided the firmness and restraints that these and other situations warranted. In short, the NCPI system responded to the needs of the times and the demands of prevailing conditions.

But times and conditions change. Areas of emphasis shift as old problems are solved and new ones develop. What was once critical becomes routine. Envisioned programs become reality. Happily, it is beyond the scope of this paper to trace through two decades the course of the Federal civil service, Navy civilian employment, and general progress in the field of personnel management. Suffice it to say that there have been countless changes and innovations in all three. And, from the standpoint of our directives system, those changes and innovations took their toll. In a continuing effort to accommodate them, the NCPI approach lost much of its original effectiveness.

So then, set against this kind of background—a recognition of changed conditions and an awareness of limitations in the existing system—a special committee was formed within Navy's Office of Civilian Manpower Management for the expressed purpose of developing a new Civilian Manpower Directives System. To begin with, the committee set down some basic ideas or concepts as to just what a directives system should be expected to do and what situations or conditions it should strive to avoid. These, in effect, were the committee's guiding principles:

- The system should leave room for management initiative and imagination and avoid excessive regulatory control.
- The system should effectively convey the Department's policies, procedures, rules, and regulations without unnecessarily duplicating or paraphrasing other available material.
- The system should provide the means for instructing, guiding, and informing operating officials to the extent necessary (no more, no less), and in a format which is easily understood.
- The system should be as concise in content and as simple and economical to operate as possible without jeopardizing its effectiveness.
- Insofar as possible, the system should effectively bring together all related directives material and thus avoid references to or conflicts with other outside material.

a streamlined way to say "what has to be said . . ."

But guiding principles do not a directives system make. Lofty objectives must ultimately be reached through practical means. And, as it turned out, the practical means or approaches open to the committee were both few in number and closely tied in with an outside element—the Federal Personnel Manual. The "FPM" is the Civil Service Commission's official medium for conveying its rules, regulations, and policy statements concerning Government-wide personnel programs. Because of the comprehensive and controlling nature of the FPM, agency directives systems are, of necessity, designed around it. In effect, how an agency elects to handle FPM material largely determines the structure and format of its own directives system. Typically, agencies employ one (or a combination) of the following basic approaches:

(1) An agency may elect to set up a separate, self-

contained system which makes repeated references to FPM material without duplicating or paraphrasing it. Here, the agency carefully spells out its own policies, procedures, and implementing instructions and, as necessary, makes references to related FPM material. Such systems cannot, of course, be truly self-contained since they must rely so heavily upon outside FPM material.

(2) An agency may elect to set up a separate, self-contained system by incorporating all necessary FPM material in with its own policies, procedures, and instructions. Such systems must, of necessity, resort to extensive duplication or paraphrasing of FPM material.

(3) An agency may elect to supplement the FPM, where necessary, with its own policies, procedures, and instructions. Such systems accept the FPM as a basic manual to which agency material can be added.

Prior to development of the current Federal Personnel Manual in 1963, most agencies found it necessary or desirable to have their own separate manuals of regulations (approach No. 2). At that time, the FPM clearly did not lend itself to supplementation, and cross-referencing to it was a cumbersome and confusing operation. With publication of a completely reorganized FPM late in 1963, agencies were urged by the Commission to re-evaluate, and hopefully discard, the "separate system" approach. The new FPM was designed with supplementation in mind and the Civil Service Commission strongly recommended that all agencies *adopt* the FPM as their own basic manual and, as necessary, *supplement* it with their own additional instructions (approach No. 3).

Each agency studied by the committee—and probably the bulk of all Federal agencies—had, in some significant way, gone along with the Commission's recommendations. Although Navy did, in part, adopt the FPM numbering system, its NCPI set-up remained a substantially separate system which, to some extent, both duplicated and referenced FPM material (a combination of approaches 1 and 2).

There was little doubt that the committee's objectives—which merely reflected the current needs of the Department—could best be served through rejection of the traditional "separate system" approach and endorsement of the supplementation idea. This decision to go for supplementation led to the development of a four-component directives system. A capsule description of each component follows.

CIVILIAN MANPOWER MANAGEMENT INSTRUCTIONS

This is the principal component of the system and the device through which the Navy supplements FPM provisions with its own particular policies, restrictions, and requirements. Only those portions of the FPM which clearly require some elaboration or implementing directives or guidance will be supplemented by Civilian Manpower Management Instructions.

An Instruction says what has to be said, in a paragraph or a page or more. Thus the FPM subchapter on administration of veteran preference, 211.2, is adopted by the Navy Department through CMMI 211.2, which consists of only three sentences. On the other hand, FPM Chapter 751, with its emphasis on the positive responsibility of each Federal agency for maintaining discipline, is supplemented by CMMI 751.1, a 6-page guide to action within the Naval Establishment.

Each CMMI is filed within the FPM itself, immediately following the FPM material being supplemented. The overall subject-matter classification and numbering system of the CMMI's is identical to that of the FPM. The FPM Index will guide the user to *all* material on any given subject. Navy's supplements are printed on green paper for ease of identification.

The FPM and the CMMI's which supplement it are written primarily for personnel officials as a group. Complete sets of this material are distributed to and maintained by civilian personnel offices throughout the Naval Establishment. The provisions of the FPM and the CMMI's are mandatory in application and constitute the basic and controlling instructions in all subject areas covered.

LETTERS, NOTICES, GUIDES

Civilian Manpower Management Letters are used to issue policy, regulatory, instructional, or other supplementary information and guidance of a continuing or permanent nature which, because of urgency, cannot immediately be issued as a CMMI. CMML's are published in loose-leaf form, on green paper, and are classified and numbered in accordance with the FPM/CMMI system. They are filed within and throughout the FPM and are retained until superseded or canceled.

CMM Notices convey *temporary* requirements, instructions, or other information and guidance in areas where no specific regulations govern. Notices contain an automatic expiration date.

Civilian Manpower Management Guides are general aids to line management officials and are intended to help them carry out their personnel management responsibilities. CMMG's cover a wide variety of subject-matter areas in civilian personnel management and administration. Subject-matter coverage will vary in detail on the basis of the extent of line management's responsibility, involvement, and latitude in each area. CMMG's are geared directly to the needs of management, i.e., what managers must or should know in order to effectively manage the work force. They guide, instruct, and inform with emphasis on explanation and clarification.

We hope that, with the implementation of this new system, Navy will achieve a more effective regulatory system. Our world-wide field activities will now have a single set of regulations with the Navy supplementation clearly evident. We are confident we have taken yet another step toward the achievement of more efficient manpower management.

TRAINING DIGEST

TRAINING AND DEVELOPMENT HANDBOOK

A comprehensive, up-to-date collection of information on training is now available. *Training and Development Handbook,* published by McGraw-Hill under sponsorship of the American Society for Training and Development, may be purchased from the Publications Department, ASTD, P.O. Box 5307, Madison, Wis. 53705.

MERIT SYSTEM PUBLICATION

A valuable new publication entitled *How To Make the Most of the Merit System: Understanding and Using Flexibilities in the Federal Personnel System* (Personnel Management Series No. 19) is now available from the Government Printing Office for 15 cents a copy. This publication was prepared by the Civil Service Commission for use by line managers. We recommend it strongly for use in management and supervisory training sessions.

AFTER-HOURS EDUCATION PROGRAM

The Civil Service Commission has assumed responsibility for administering the Federal Triangle After-Hours Education Program in cooperation with George Washington University. The program was initiated more than a decade ago by a small, informal group of forward-looking employee development officers in the downtown Washington area. Its purpose was to provide convenient access to university courses for Federal employees.

Under the leadership of Jasper (Bud) Kranke of the U.S. Coast Guard and, later, Phil Loomis of the Veterans Administration, the program has grown at an extraordinary rate. More than 1,000 Federal employees, representing more than 30 departments and agencies, registered for the Spring 1968 semester. George Washington University is offering approximately 60 graduate and undergraduate courses in many Federal buildings during the Fall 1968 semester.

Under the new arrangement, the Commission's Bureau of Training is assuming all responsibility formerly exercised by the Federal Triangle After-Hours Education Association, which has now ceased to exist.

PUBLICATIONS RELATING TO AGENCY TRAINING

The Commission's Bureau of Training will soon complete four publications based on information contained in the Annual Program Reports of Training (FY 1968) submitted by Federal agencies.

Employee Training in the Federal Service, the second annual review of employee training activities throughout the Federal service, reveals the magnitude of agency training activities. This report is particularly useful to agencies in evaluating their own training programs and comparing them with those of other agencies.

Agency Training Centers for Federal Employees, first published last year, enumerates agency training programs, courses, and admission requirements.

Information on the operation and general characteristics of agency-sponsored off-campus training is contained in *Off-Campus Study Centers for Federal Employees.*

Studies and Reports Relating to Training and Education publicizes Federal agency research relating to training to promote greater use of the results and to inform agencies of the nature and extent of those studies already completed.

Copies of all four of these publications will be distributed to key agency training officers as well as to directors of personnel.

PROJECT PROVE

The Department of Labor has entered into an agreement with the United Planning Organization to fund a model 2-year pilot Neighborhood Youth Corps program for approximately 100 enrollees. Administered by a subcontractor to the United Planning Organization under the title Project PROVE, the program will involve high school dropouts from Washington slums who will be counseled, trained, and ultimately employed in permanent Government positions. Under Project PROVE the youths will be working at Labor in areas such as drafting, printing, and public information as well as in clerical positions. An interesting sidelight of the program is that there will be substantial participation of Labor Department employees who will counsel and tutor the enrollees, supplementing their on-the-job training.

POSTAL SERVICE INSTITUTE

The Post Office Department's Postal Service Institute, under the leadership of Director Edmund F. Overend, has gotten off to an excellent start. By the end of June, more than 800 people had completed courses in the Institute, which opened its doors in February 1967. Numerous other activities were well underway, including a massive safety training program to be offered in more than 80 cities for thousands of postal supervisors. Between July 1 and October 1, the Institute expects that approximately 9,000 persons in the field will be trained in "Safety for Supervisors." During the same period the main Institute plans to train approximately 990 persons in a total of 8 courses.

—John J. Bean
Director, Office of
Agency Consultation and Guidance

Employment Focus

1967 GEOGRAPHIC SURVEY

Results from the December 31, 1967, geographic survey of Federal civilian employment, reported below, indicate that 46 States and the District of Columbia added from 8 to over 52,000 employees during the past 2 years. The largest increases were in California, Virginia, Texas, and Maryland. Principal cause of the increases in Maryland and Virginia was the expansion of Federal activities in the Washington, D.C., metropolitan area, which overflow into those States. Small decreases in four States—Alabama, Nebraska, Tennessee, and Wyoming—numbered from 100 to 2,500.

ACCELERATED GROWTH IN LAST 2 YEARS

Three-fifths of the increases in the United States since 1960 (493,211) have occurred in the past 2 years. More than half of the growth in the 7-year period occurred in the two coastal areas of the Pacific and South Atlantic regions.

INCREASES SINCE 1960

By region, increases since 1960 are as follows: New England, 11,699; Middle Atlantic, 30,142; East North Central, 49,347; West North Central, 23,091; South Atlantic, 167,617; East South Central, 16,298; West South Central, 56,569; Mountain, 37,697; and Pacific, 100,751.

PAY SYSTEM TREND CONTINUES

Distribution by pay system during the past 2 years has remained virtually unchanged. Forty-six percent of the employees in 1967 were paid at General Schedule rates, slightly over 26 percent were postal, and 23 percent were paid under various trade, craft, and labor systems.

—James H. Vaske
Statistics Section

FEDERAL CIVILIAN EMPLOYMENT BY GEOGRAPHIC REGION AND STATE

December 31, 1967

Region and State	Number of Employees 1967	Change from 1965
Total	2,947,691	+377,509
Outside U.S.	243,148	+76,014
U.S.	2,704,543	+301,495
New England:	(124,884)	(+11,826)
Maine	16,834	+1,780
N.H.	4,721	+288
Vt.	3,326	+166
Mass.	66,472	+5,590
R.I.	14,948	+1,794
Conn.	18,583	+2,208
Middle Atlantic:	(392,845)	(+27,742)
N.Y.	182,391	+8,878
N.J.	67,346	+9,081
Pa.	143,108	+9,783
E.N. Central:	(331,496)	(+29,450)
Ohio	98,344	+4,939
Ind.	41,633	+6,637
Ill.	113,699	+9,604
Mich.	53,524	+6,257
Wis.	24,296	+2,013
W.N. Central:	(164,739)	(+14,333)
Minn.	28,984	+2,235
Iowa	17,602	+865
Mo.	65,148	+9,034
N. Dak.	7,318	+293
S. Dak.	9,237	+106
Nebr.	14,844	−83
Kans.	21,606	+1,883
S. Atlantic:	(682,502)	(+90,607)
Del.	4,284	+585
Md.	114,987	+18,062
D.C.	207,824	+14,935
Va.	131,134	+23,529
W. Va.	12,494	+857
N.C.	36,536	+5,238
S.C.	30,080	+4,310
Ga.	76,812	+11,941
Fla.	68,351	+11,150
E.S. Central:	(154,517)	(+8,807)
Ky.	37,834	+9,862
Tenn.	40,076	−578
Ala.	56,865	−2,593
Miss.	19,742	+2,116
W.S. Central:	(247,299)	(+31,971)
Ark.	16,266	+1,200
La.	28,677	+1,996
Okla.	55,108	+8,226
Tex.	147,248	+20,549
Mountain:	(165,792)	(+18,787)
Mont.	10,431	+583
Idaho	7,613	+8
Wyo.	4,829	−155
Colo.	41,645	+3,888
N. Mex.	25,787	+1,548
Ariz.	25,849	+3,185
Utah	41,627	+9,130
Nev.	8,011	+600
Pacific:	(440,469)	(+67,972)
Wash.	56,839	+8,560
Oreg.	23,904	+1,881
Calif.	317,867	+52,745
Alaska	14,344	+942
Hawaii	27,515	+3,844

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Worth Noting *(Continued)*

AND THEN THERE WERE NONE. The last 7 of 661 agency boards of civil service examiners that existed in May 1966 have been absorbed by 65 Interagency Boards of Civil Service Examiners. Manned by CSC employees, the IABs provide one-stop job information for a given area. According to preliminary information for fiscal 1968, the 65 IABs processed more than 1,760,000 applications during the year.

THE VAST MAJORITY of Federal employees are not in Washington, President Johnson noted in a recent memorandum to the chairmen of Federal Executive Boards throughout the country. Since, for the most part, "our programs are carried out and our costs are incurred by employees who are out in the countryside and cities," the President wrote, "these field operations provide a great opportunity for cost reduction." President Johnson expressed pleasure with what FEB's have done, working together, to reduce costs through such methods as sharing data processing resources, conference rooms, libraries, reproduction facilities, and motor vehicles. He further urged the chairman to "make sure every Federal employee is being used in the most effective way possible."

COMPLAINT DESK: A new office, reporting directly to CSC Chairman John W. Macy, Jr., has been opened in the Commission's Washington headquarters to handle complaints from Federal employees and the public about operation of the Federal personnel system. The new office is not intended to replace existing means for handling employee complaints and grievances, Chairman Macy said. But it provides a single point within the Commission to which employees or the public may come or write for assistance on matters which they have otherwise been unable to resolve, and to which employees may bring their complaints. In addition to receiving complaints, the new office will welcome suggestions from the public aimed at improving Federal personnel operations.

TEMPORARY PROMOTIONS may now be terminated without recourse to adverse action procedures when the temporary need has been met. The Civil Service Commission has approved this procedural change to stimulate agency use of temporary promotions instead of the practice of detailing an employee to a higher grade position without increasing his pay. Previously, when a temporarily promoted employee was restored to his regular job, procedures were the same as if he were being demoted for cause. To avoid this situation, agencies generally preferred the use of details instead of temporary promotions.

EMPLOYEES REASSIGNED from shortage category jobs may now, in some cases, be permitted to keep their special pay rates. Federal employees receiving special rates do not ordinarily transfer voluntarily to non-shortage-category jobs, because to do so would reduce their incomes. Under new CSC regulations, however, in a limited number of cases and with prior approval of the Commission, an agency may use the employee's special rate to fix his pay in the position to which he reassigned, when good management requires such reassignment.

—Bacil B. Warren

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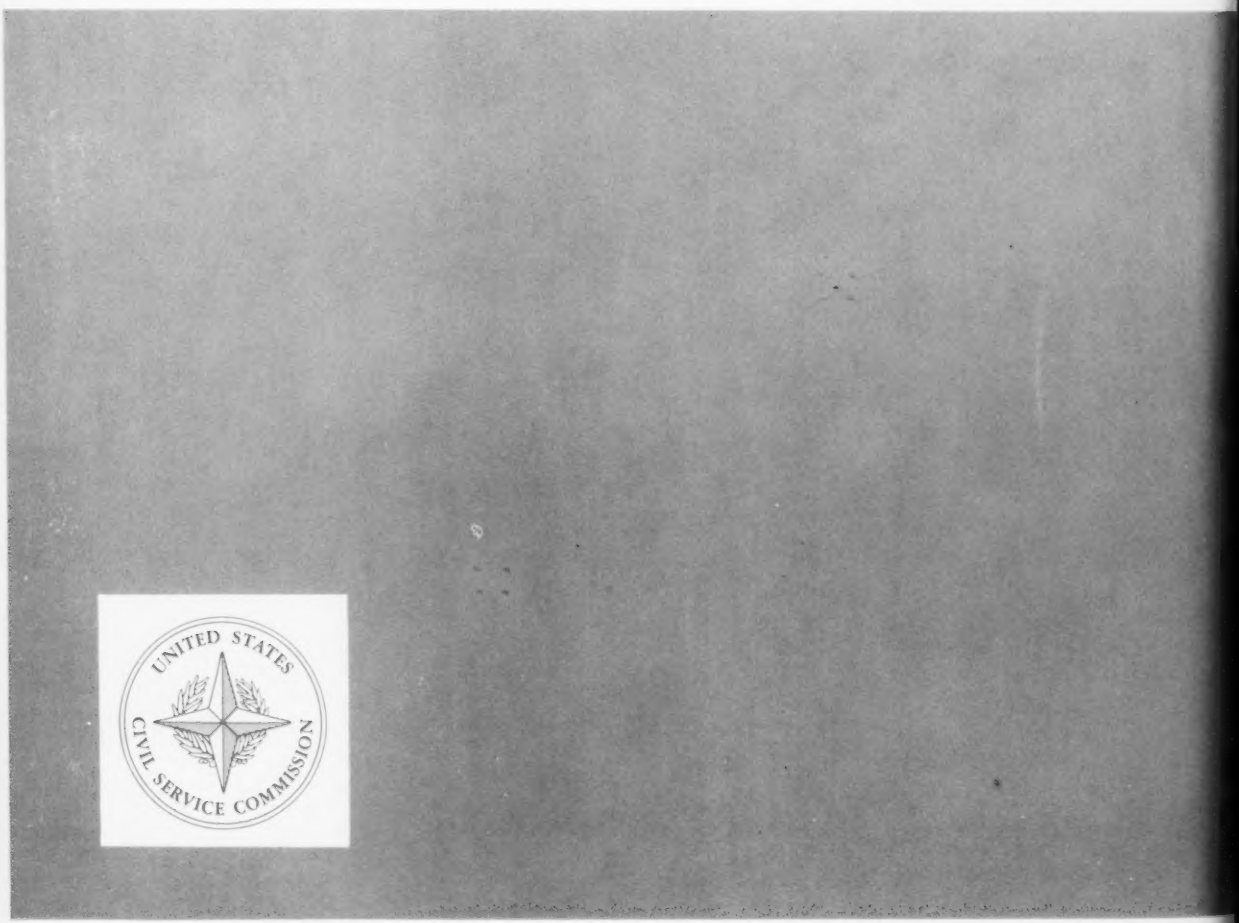
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